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PTO/SB/29 (12/97)

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1055 U.S. PTO  
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# UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 10366-008 Total Pages 60

First Named Inventor or Application Identifier

Zumbach et al.

Express Mail Label No. EL 501 638 756 US

4520  
04/30/01**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

Assistant Commissioner for Patents  
ADDRESS TO: Box Patent Application  
Washington, DC 20231

1. <input checked="" type="checkbox"/> Fee Transmittal Form <i>Submit an original, and a duplicate for fee processing</i>	6. <input type="checkbox"/> Microfiche Computer Program (Appendix)
2. <input checked="" type="checkbox"/> Specification <i>(preferred arrangement set forth below)</i>	7. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission <i>(if applicable, all necessary)</i>
-Descriptive title of the Invention	a. <input type="checkbox"/> Computer Readable Copy
-Cross Reference to Related Applications	b. <input type="checkbox"/> Paper Copy (identical to computer copy)
-Statement Regarding Fed sponsored R&D	c. <input type="checkbox"/> Statement verifying identity of above copies
-Reference to Microfiche Appendix	
-Background of the Invention	
-Brief Summary of the Invention	
-Brief Description of the Drawings <i>(if filed)</i>	
-Detailed Description of the Invention (including drawings, <i>if filed</i> )	
-Claim(s)	
-Abstract of the Disclosure	
3. <input checked="" type="checkbox"/> Drawing(s) (35 USC 113) <span style="float: right;">[Total Sheets 16]</span>	
4. <input checked="" type="checkbox"/> Oath or Declaration (unexecuted) <span style="float: right;">[Total Sheets 2]</span>	
a. <input type="checkbox"/> Newly executed (original or copy)	8. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))
b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d)) <i>(for continuation/divisional with Box 17 completed)</i>	9. <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Power of Attorney <i>(when there is an assignee)</i>
<b>[Note Box 5 below]</b>	
i. <input type="checkbox"/> <b>DELETION OF INVENTOR(S)</b> <i>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33 (b).</i>	10. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>
5. <input type="checkbox"/> Incorporation By Reference <i>(useable if Box 4b is checked)</i> <i>The entire disclosure of the prior application, from which a copy of the oath or declaration is supplied under Box 4b, is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.</i>	11. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449 <input type="checkbox"/> Copies of IDS Citations
17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information: <input type="checkbox"/> Continuation <input type="checkbox"/> Divisional <input type="checkbox"/> Continuation-in-part (CIP)    of prior application No: filed .	12. <input type="checkbox"/> Preliminary Amendment
	13. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>
	14. <input type="checkbox"/> Small Entity <input type="checkbox"/> Statement filed in prior application, Statement(s) Status still proper and desired
	15. <input type="checkbox"/> Certified Copy of Priority Document(s) <i>(if foreign priority is claimed)</i>
	16. <input type="checkbox"/> Other:

**18. CORRESPONDENCE ADDRESS**

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## PENNIE &amp; EDMONDS LLP

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ATTORNEY DOCKET NO. 10366-008Date: April 30, 2001

Assistant Commissioner for Patents  
 Box PATENT APPLICATION  
 Washington, D.C. 20231

Sir:

The following utility patent application is enclosed for filing:

Applicant(s): Zumbach et al.

Executed on:

Title of Invention: METHODS FOR ANALYSIS OF FINANCIAL MARKETS

## PATENT APPLICATION FEE VALUE

TYPE	NO. FILED	LESS	EXTRA	EXTRA RATE	FEE
Total Claims	25	-20	5	\$18.00 each	\$ 90.00
Independent	5	-3	2	\$80.00 each	\$ 160.00
				Minimum Fee	\$ 710.00
				Multiple Dependency Fee If Applicable (\$270.00)	\$ 0.00
				Total	\$ 960.00
				50% Reduction for Independent Inventor, Nonprofit Organization or Small Business Concern (a verified statement as to the applicant's status is attached)	- \$ 480.00
				Total Filing Fee	\$ 480.00

**DO NOT PUBLISH.** I hereby certify that the invention disclosed in the attached application **has not and will not be** the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen months after filing. I hereby request that the attached application not be published under 35 U.S.C. 122(b).

Priority of U.S. provisional applications no. 60/200,742 filed on May 1, 2000; 60/200,743, filed May 1, 2000; 60/200,744, filed May 1, 2000; 60/261,973, filed January 23, 2001; and 60/274,174, filed March 8, 2001, is claimed under 35 U.S.C. § 119.

The certified copy of the priority application has been filed in application no. filed

Amend the specification by inserting before the first line the following sentence: This is a continuation-in-part of application no. filed .

Please charge the required fee to Pennie & Edmonds LLP Deposit Account No. 16-1150. A copy of this sheet is enclosed.

Respectfully submitted,  
*Steven P. Undem* (Reg. No. 47,205)  
 24,615  
 For Francis E. Morris  
 PENNIE & EDMONDS LLP  
 (Reg. No.)

Enclosure

This form is not for use with continuation, divisional, re-issue, design or plant patent applications.